



Attorney's Docket No: C1039.70083US05 *IPW*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.
Serial No.: 10/789,536
Confirmation No.: 9640
Filed: February 26, 2004
For: IMMUNOMODULATORY OLIGONUCLEOTIDES

Examiner: Not yet assigned
Art Unit: 1645

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Office of Initial Patent Examination's Filing Receipt Corrections, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 13 day of July, 2004.

Helen C. Lockhart

Office of Initial Patent Examination's
Filing Receipt Corrections
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Transmitted herewith are the following document(s):

- Request for Correction of Filing Receipt;
- Copy of Filing Receipt with corrections in red ink;
- Copy of previously submitted Application Data Sheet
- Copy of Corrected Filing Receipt from 09/415,142 (C1039.70029US00); and
- Return Receipt Postcard.

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

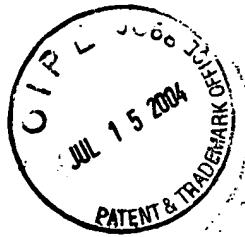
Respectfully submitted

Helen C. Lockhart, Reg. No. 39,248
WOLF, GREENFIELD & SACKS, P.C.
600 Atlantic Avenue
Boston, Massachusetts 02210
Tel: (617) 720-3500

Attorney Docket No.: C1039.70083US05

Date: July 13, 2004

xNDDx



Attorney's Docket No: C1039.70083US05

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.
Serial No.: 10/789,536
Confirmation No.: 9640
Filed: February 26, 2004
For: IMMUNOMODULATORY OLIGONUCLEOTIDES

Examiner: Not yet assigned
Art Unit: 1645

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Office of Initial Patent Examination's Filing Receipt Corrections, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 13 day of July, 2004.

A handwritten signature in black ink that appears to read "Helen C. Lockhart".

Helen C. Lockhart

Office of Initial Patent Examination's
Filing Receipt Corrections
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTION OF FILING RECEIPT

Sir:

Applicants request that the following information be corrected on the Filing Receipt dated April 29, 2004:

Please correct under the heading "**Domestic Priority data as claimed by applicant**", the the following:

This application is a CON of 09/415,142 10/08/1999 to
This application is a CON of 09/415,142 10/09/1999



U.S. S. N. 10/789,536

Page 2

The Filing receipt indicates that the "data provided by applicant is not consistent with PTO records". However, after reviewing the Application Data Sheet originally filed with the application (copy provided), we have determined that the correct information was provided and that the error, in fact, is on part of the PTO. Enclosed is copy of the corrected filing receipt mailed from the PTO on June 30, 2004, for related application 09/415,142 (C1039.70029US00), filed October 9, 1999.

Applicants respectfully request that the above-noted change be made, as also appearing in red on the attached Filing Receipt.

The Commissioner is hereby authorized to charge any fees which may be required to Deposit Account No. 23-2825. A duplicate of this sheet is enclosed. If you have any questions, please do not hesitate to call the undersigned at (617) 720-3500.

Respectfully submitted,

By: Helen C. Lockhart
Helen C. Lockhart, Reg. No. 39,248
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, Massachusetts 02210
Telephone: (617) 720-3500

Docket No.: C1039.70083US05
Date: July 13, 2004
xNDDx



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

HCZ

| APPL NO. | FILING OR 371 (C) DATE | ART UNIT | FIL FEE REC'D | ATTY.DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|------------------------|----------|---------------|-----------------|----------|----------|----------|
| 10/789,536 | 02/26/2004 | 1645 | 770 | C1039.70083US05 | | 20 | 1 |

Helen C. Lockhart, Ph.D.
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210

CONFIRMATION NO. 9640

UPDATED FILING RECEIPT



OC000000012486933

Date Mailed: 04/29/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Arthur M. Krieg, Wellesley, MA;
Dennis Klinman, Potomac, MD;
Alfred D. Steinberg, Potomac, MD;

| | |
|--------------|--|
| Confirmation | Initials |
| Docketing | <input type="checkbox"/> <i>HK</i> <input checked="" type="checkbox"/> |
| | |

Assignment For Published Patent Application

University of Iowa Research Foundation, Iowa City, IA;
Coley Pharmaceutical Group, Inc., Wellesley, MA;
The USA, as represented by the Secretary, Department of Health and Human Services,
Bethesda, MD;

HK

Domestic Priority data as claimed by applicant

This application is a CON of 10/690,495 10/21/2003
which is a CON of 09/415,142 10/08/1999.* *10/09/1999*
which is a DIV of 08/386,063 02/07/1995 PAT 6,194,388
which is a CIP of 08/276,358 07/15/1994 ABN
(*)Data provided by applicant is not consistent with PTO records.

| |
|-------------|
| DOCKETED |
| MAY 04 2004 |

Foreign Applications

If Required, Foreign Filing License Granted: 04/13/2004

Projected Publication Date: 08/05/2004

Non-Publication Request: No

Early Publication Request: No

Title

Immunomodulatory oligonucleotides

Preliminary Class

514

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



UNITED STATES PATENT AND TRADEMARK OFFICE

Page 1 of 2

HCZ

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

| APPL NO. | FILING OR 371 (c) DATE | ART UNIT | FIL FEE REC'D | ATTY.DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|------------------------|----------|---------------|----------------|----------|----------|----------|
| 09/415,142 | 10/09/1999 | 1632 | 1928 | C1039/7029 | | 68 | 5 |

HELEN C LOCKHART
WOLF GREENFIELD & SACKS PC
600 ATLANTIC AVENUE
BOSTON, MA 02210

CONFIRMATION NO. 4378
CORRECTED FILING RECEIPT



OC000000013112195

Date Mailed: 06/30/2004

Receipt is acknowledged of a CPA in this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

ARTHUR M. KRIEG, IOWA CITY, IA;
Alfred D. Steinberg, Residence Not Provided;
Dennis Klinman, Residence Not Provided;

Domestic Priority data as claimed by applicant

This application is a DIV of 08/386,063 02/07/1995 PAT 6,194,388

Foreign Applications

CPA filed on: 06/10/2002

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No

C1039.700291500

| | | |
|--------------------------|------------|-----------------|
| Confirmation | Docketing | Initials |
| <input type="checkbox"/> | <i>HCZ</i> | <i>07/08/04</i> |
| | | |

HC

Title

IMMUNOMODULATORY OLIGONUCLEOTIDES

Preliminary Class

514

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).